



STATE OF WASHINGTON

STATE RECORDS COMMITTEE

Office of the State Auditor • Office of Financial Management • Office of the Attorney General • State Archives

PO Box 40238 • Olympia, Washington 98504-0238 • (360) 586-4900

MEETING MINUTES

Blake Office Building East, Rose Room

1:30 p.m.

October 06, 2006

Members Present: Steve Ryser (Chair), State Auditor's Office; Susan Carlson, Attorney General's Office; Rochelle Klopfenstein, Office of Financial Management; Jerry Handfield, State Archivist

Staff Present: Tri Howard, Public Records Program Manager; Lysa Walker, Forms and Records Analyst 3

Records Officers: Makeba Andrews, Office of the Insurance Commissioner; Anita Wieland, Office of Financial Management; Karen Dunn, Department of Community; Trade and Economic Development; Sherree Christiansen Hempstead, Department of Revenue; Brenda Galarza, Office of the Secretary of State; Millie Brombacher, Department of Social and Health Services; Barbara Benson, University of Washington; Hannah Fultz, Department of Licensing

Guests: Beth Bevendt, Office of the Insurance Commissioner; Tammy Talburt, Department of Community Trade and Economic Development; Cheryl Moss, Department of Revenue; Andrea Watts, University of Washington; Megan Sibbert, University of Washington

II. ROUTINE BUSINESS

A. Call to Order: Steve Ryser called the meeting to order at 1:39 p.m.

B. Introduction of Records Officers/Guests: All Records Officers and guests were introduced.

C. Approve September 06, 2006 Minutes: Steve called for a motion to approve the September 06, 2006 minutes. Moved by Susan Carlson; seconded by Rochelle Klopfenstein.

Resolution: Motion carried to adopt the minutes as presented.

D. Adoption of October 04, 2006 Agenda: Steve called for a motion to approve today's agenda. Jerry requested that Item D. titled 'Identity Theft' and Item E. titled 'Archives Week' be added to the agenda under Other Business. Lysa requested that the University of Washington be moved under New Business from A.4 to A.7 due to the Records Officer

being delayed by traffic congestion on Interstate 5. Steve called for a motion to approve the agenda as amended. Moved by Susan Carlson; seconded by Rochelle Klopfenstein.
Resolution: Motion carried to adopt today's agenda as amended.

II. NEW BUSINESS

A. Action Items for Committee Review/Approval

1. Washington State University

a. *Psychology Clinic*

- 2) Client Case Files – Series Revised: Changed title from 'Case Folders/Client'; updated the description and increased the retention period from 7 years to 10 years.

- 5) Liability Insurance – New Series

Action: Series 2 and 5 approved.

2. Department of Revenue

a. *Business and Financial Services/Cash Management*

- 1) Excise Tax Reconciliation – New Series

Action: Series 1 approved.

b. *Financial and Employee Services/Financial Management*

- 1) Vendor Payment Files – New Series

This records series proposed the disposal of the paper copy after it was imaged and verified. Susan Carlson raised the issue whether there should be a separate retention schedule for the scanned copy and the original paper document. She was concerned whether it was appropriate for one schedule to set the retention period for both the paper original and the scanned copy. It was suggested that once imaged, the paper copy can be destroyed pursuant to section GS 50 in the State General Records Retention Schedule, as a duplicate copy. The retention schedule would actually only set the retention for the scanned copy, which upon verification, becomes the primary copy. The committee agreed that the paper copy, once imaged and verified, could be treated as the secondary copy and destroyed under GS 50.

Action: Series 1 approved.

c. *Appeals*

- 1) Board of Tax Appeals Excise Tax Orders – Series Revised: Added to description 'Disposal of paper after source documents are imaged and verified' and changed cut-off from 'Issued' to 'When Imaged and Verified'.

Action: Series 1 withdrawn. The Archival Review Committee (ARC) has a meeting scheduled with DOR to discuss the Archival paper copies; the transfer of the electronic Archival version to the Digital Archives and the length of the retention period. The records series will be brought back before the Records Committee after review by the Archival Review Committee.

- 2) Board of Tax Appeals Briefs – Series Revised: Changed description by removing 'filed by Interpretation and Appeals'; added 'Disposal of paper after source documents are imaged and verified'; changed the cut-off from 'Issued' to 'When Imaged and Verified'; changed designation from OFM and changed the retention period from 10 years in office and 65 years at the Records Center.

Action: Series 2 was not considered because it is included on the same page as Series 1.

- 3) Board of Tax Appeals File – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified’ and changed cut-off from ‘End of Appeal’ to ‘When Imaged and Verified’.

Action: Series 3 approved.

- 4) Closing Agreements – Imaged Copy – Series Revised: Removed from the description ‘This is used as a security copy. At the end of the ten years, these files will be imaged on a new platter or transferred to new technology’ and the cut-off changed from ‘When Imaged’ to ‘When Imaged and Verified’.

Action: Series 4 approved pending designation changed from OFM to OPR. The schedule will be resubmitted to the Records Management Office and circulated for signature among the SRC members.

- 5) Determination Letters – Imaged Copy – Series Revised: Removed from the description ‘This is used as a security copy. At the end of ten years, these files will be imaged on a new platter or transferred to new technology’ and the cut-off changed from ‘When Imaged’ to ‘When Imaged and Verified’.
- 6) Determinations – Imaged Copy – Series Revised: Removed from the description ‘This is used as a security copy. At the end of ten years, these files will be imaged on a new platter or transferred to new technology’ and the cut-off changed from ‘When Imaged’ to ‘When Imaged and Verified’.
- 7) Taxpayer Petitions/Correspondence Files – Series Revised: Added to the description ‘Disposal of paper after source documents are imaged and verified’ and the cut-off changed from ‘Calendar Year’ to ‘When Imaged and Verified’.

Action: Series 5 – 7 approved.

d. Special Programs/Forest Tax

- 1) Distribution Reports – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified’ and the cut-off changed from ‘Quarterly’ to ‘Date Imaged and Verified’.
- 2) Forest Service Cut and Sold and Closing Report – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified’ and changed cut-off from ‘Quarterly’ to ‘Date Imaged and Verified’.
- 3) Forest Tax Server Images – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified’ and the cut-off changed from ‘Daily’ to ‘Date Imaged and Verified’.
- 4) Stumpage Value Files – Series Revised: Revised title from ‘Stumpage Value Working Files’; changed description from ‘Contains computer print outs which provide a record of calculations used in determining semi-annual stumpage values; added to description ‘Disposal of paper after source documents are imaged and verified’ and the cut-off changed from ‘When Scanned and Verified’ to ‘Date Imaged and Verified’.

Action: Series 1 – 4 approved.

- 5) Timber Assessed Value – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified and changed cut-off from ‘Calendar Year’ to ‘Annually after Imaged and Verified’.

Action: Series 5 was withdrawn for an appraisal by the ARC for their enduring and/or historical value. The ARC will meet with the Records Officer and program staff to

review the files. This records series will be brought back before the State Records Committee after review by the ARC.

e. *Special Programs/Miscellaneous Tax*

- 1) Cigarette Tax Database – New Series
- 2) Leasehold Database – New Series
- 3) Miscellaneous Use Tax Tracking System (MUTTS) – New Series
- 4) Real Estate Excise Tax (Doreeta) Affidavits – New Series

Action: Series 1 – 4 approved.

- 5) Vessel Tax Files – New Series

Action: Series 5 was withdrawn for an appraisal by the ARC for their enduring and/or historical value. The ARC will meet with the Records Officer and program staff to review the files. This records series will be brought back before the State Records Committee after review by the ARC.

- 1) Cigarette Assessments – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified’; changed cut-off from ‘When Paid’ to ‘Fiscal Year after Imaged and Verified’ and changed total retention from 6 years to 7 years.
- 2) Cigarette Audit Files – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified’; changed cut-off from ‘When Paid’ to ‘When Imaged and Verified’ and changed total retention from 6 years to 7 years.
- 3) Cigarette Manufacturer Jenkins Act Reports – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified’; changed cut-off from ‘When Filed’ to ‘When Imaged and Verified’ and changed total retention from 6 years to 7 years.
- 4) Cigarette Tax Refunds – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified’; changed cut-off from ‘Fiscal Year’ to ‘When Imaged and Verified’ and changed total retention from 6 years to 7 years.
- 5) Cigarette Tax Warrants – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified’; changed cut-off from ‘When Cancelled or Paid’ to ‘When Imaged and Verified’ and changed total retention from 6 years to 7 years.
- 6) Cigarette Wholesaler Bonds and Bonding Correspondence – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified’; changed cut-off from ‘Calendar Year’ to ‘When Imaged and Verified’ and changed total retention from 6 years to 7 years.
- 7) Cigarette Wholesaler Correspondence – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified’; changed cut-off from ‘When Received’ to ‘When Imaged and Verified’ and changed total retention from 6 years to 7 years.

Action: Series 1 – 7 approved.

- 8) Escheat Files – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified’; changed cut-off from ‘Escheat Closed’ to ‘When Imaged and Verified’; increased office retention from 7 years to 25 years to accommodate the potential minor coming forward at the age of majority – 18 years plus 7 years after to make a claim.

Action: Series 8 was withdrawn for an appraisal by the ARC for their enduring and/or historical value. The ARC will meet with the Records Officer and program staff to review the files. This records series will be brought back before the State Records Committee after review by the ARC.

- 9) Exempt Stamping Allowance Payments – Series Revised: Removed from title ‘Paper’; removed from description ‘Paper copy is kept for state auditor’; added to description ‘Disposal of paper after source documents are imaged and verified’; changed cut-off from ‘When Inputted’ to ‘When Imaged and Verified’ and changed total retention from 6 years to 7 years.

Action: Series 10 was not reviewed because it is on the same page as Series 9.

- 10) Indian Allocation Orders – Series Revised: Removed from title ‘Paper’; removed from description ‘Paper copy is kept for state auditor’; added to description ‘Disposal of paper after source documents are imaged and verified’; changed cut-off from ‘When Inputted into Database’ to ‘When Imaged and Verified’ and changed total retention from 6 years to 7 years.

Action: Series 10 was not reviewed because it is on the same page as Series 11 which was held for review by the ARC.

- 11) Inheritance and Estate Tax Files – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified’; changed cut-off from ‘Upon Release’ and ‘When Imaged and Verified’ and changed total retention from 6 years to 7 years.

Action: Series 11 was withdrawn for an appraisal by the ARC for their enduring and/or historical value. The ARC will meet with the Records Officer and program staff to review the files. This records series will be brought back before the State Records Committee after review by the ARC.

- 12) Investment Tax Deferrals – Series Revised: Removed from title ‘Paper’; added to description ‘Disposal of paper after source documents are imaged and verified’; changed cut-off from ‘When Inputted into Database’ to ‘When Imaged and Verified’ and changed total retention from 6 years to 7 years.

Action: Series 12 approved pending the agency confirmation whether the series involves contracts. If the series does pertain to contracts, the designation should be changed from OFM to OPR. If the series does not pertain to contracts, the designation can remain OFM. The schedule will be resubmitted to the Records Management Office and circulated for signature among the SRC members.

- 13) Leasehold County/City Contracts – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified’; changed cut-off from ‘Termination of Contract’ to ‘When Imaged and Verified’ and changed total retention from 6 years to 7 years.

- 14) Leasehold Distribution Reports and Supporting Documents – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified’; changed cut-off from ‘Termination of Leasehold’ to ‘When Imaged and Verified’ and changed total retention from 2 years to 7 years.

- 15) Leasehold Tax Audit File – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified’; changed cut-off from ‘Calendar Year’ to ‘When Imaged and Verified’ and changed total retention from 12 years to 10 years.

- 16) Leasehold Tax Returns – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified’; changed cut-off from ‘Termination of Contract’ to ‘When Imaged and Verified’ and changed total retention from 6 years to 7 years.
- 17) Real Estate Excise Tax (REET) General Correspondence – Series Revised: Added ‘REET’ to the title; added to description ‘Disposal of paper after source documents are imaged and verified’; changed cut-off from ‘Calendar Year’ to ‘When Imaged and Verified’ and changed total retention from 6 years to 7 years.
- 18) Real Estate Excise Tax Audit Files – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified’; changed cut-off from ‘Calendar Year’ to ‘When Imaged and Verified’.
- 19) Real Estate Excise Tax Refunds – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified’; changed cut-off from ‘Termination of Contract’ to ‘When Imaged and Verified’.
- 20) Schedule C Reports – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified’; changed cut-off from ‘When Filed’ to ‘When Imaged and Verified’ and changed total retention from 6 years to 7 years.

Action: Series 13 – 20 approved.

f. Special Programs/Unclaimed Property

- 1) Unclaimed Property Electronic Filed Claim – New Series

Action: Series 1 approved.

- 2) Unclaimed Property Electronic Filed Claim – Incomplete – New Series

Action: Series 2 approved pending the designation be changed from OPR to OFM.

- 1) Holder Report Files 1996 and Forward – Optical Disk – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified’; changed cut-off from ‘Scanned and Verified’ to ‘When Imaged and Verified’ and changed total retention from 6 years to 7 years.

Action: Series 1 approved.

- 1) Audit Jackets – Imaged – Series Revised: Removed ‘Microfilm’ from the title; added to description ‘Disposal of paper after source documents are imaged and verified’; changed cut-off from ‘When Imaged’ to ‘When Imaged and Verified’ and changed total retention from 10 years to 12 years.

- 2) Waivers on Statute of Limitations – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified’; changed designation from OFM; changed cut-off from ‘Calendar Year’ to ‘Calendar Year after Imaged and Verified’ and changed total retention from 4 years to 12 years for Audit purposes and added statement to Remarks column.

Action: Series 1 – 2 approved.

g. Audit/Account Research Desk Examination

- 1) Contract Clearance Files – Optical Disk – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified’ and changed cut-off from ‘When Filmed and Verified’ to ‘When Imaged and Verified’; changed retention in description from 10 years to 12 years and changed total retention from 10 years to 12 years.

- 2) Corporate Dissolution or Withdrawal – Paper and Optical Disk – Series Revised: Added ‘Paper and Optical Disk’ to the title; added to description ‘Disposal of paper after source documents are imaged and verified’; changed designation from OFM; changed cut-off from ‘COP’ to ‘Completion of Payment after Imaged and Verified’ and changed total retention from 0 years to 10 years.

Action: Series 1 and 2 approved.

h. Compliance/Administration

- 1) Cash Bond Information – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified’ and changed retention in description from 2 years to 7 years to match Excise Tax Return DAN 78-10-21347.
- 2) Closing Agreement Packet – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified’.
- 3) Warrant Control Copy File – Series Revised: Changed title from ‘Active Warrant Suspense File’; changed description from ‘Contains copies of tax warrants issued awaiting resolution. Transferred to completed warrant and uncollectible file when paid or written off as uncollectible’; changed cut-off from ‘Action on Claim Resolved’ to ‘When Paid after Imaged and Verified’ and changed total retention from ‘Goes to Completed Warrants and Uncollectible File’ to 5 years.

Action: Series 1 – 3 approved.

i. Property Tax/Exempt Property

- 1) Exempt Property Registration Files – Series Revised: Added to description ‘Disposal of paper after source documents are imaged and verified’; changed cut-off from ‘Calendar Year’ to ‘Calendar Year after Imaged and Verified’ and changed total retention from 6 years to 12 years.

Action: Series 1 approved.

j. Taxpayer Account Administration/Information

- 1) Application for Refund of Use Tax – New Series
- 2) Electronic Funds Transfer Authorization Forms – New Series
- 3) Trust Fund Accountability Assessment – New Series

Action: Series 1 – 3 approved.

- 1) Active Excise Taxpayer Account – Series Revised: Changed description from ‘contains excise tax forms, summaries of remittance paid the state, taxpayer correspondence, and audits of taxpayer records. Provides information and records on all persons and businesses registered in Washington State, relating to taxes and necessary for the administration of the law. RCW 82.32.340 authorizes a 5 year retention’; changed cut-off from ‘Calendar Year’ to ‘Date Received once Imaged and Verified’; changed total retention from 5 years to 7 years for audit purposes and moved from office 709 to 706.
- 2) Amended Returns/Refund Requests – Series Revised: Removed from title ‘Paper’; added to description ‘Disposal of paper after source documents are imaged and verified’; changed designation from OFM; changed cut-off from ‘When Filmed and Verified’ to ‘Date Received once Imaged and Verified’; changed total retention from 0 years to 7 years to match Excise Tax Return DAN 78-10-21347 and moved from office 713 to 706.

- 3) Business & Occupation Tax Credits – Series Revised: Changed title from 'B&O Tax Credit'; added to description 'Disposal of paper after source documents are imaged and verified'; changed cut-off from 'Final Credit Used' to 'Date Received once Imaged and Verified' and changed total retention from 6 years to 7 years to match Excise Tax Return DAN 78-10-21347.
- 4) Certificate of Application for Special Credits – Series Revised: Changed title from 'New Accounts Books'; changed description from 'Provides a record of applications to open or reopen a business. Used for reference.'; changed designation from OFM; changed cut-off from 'Calendar Year' to 'Date Received once Imaged and Verified'; changed total retention from 3 years to 7 years to match Excise Tax Return DAN 78-10-21347 and moved from office 701 to 706.
- 5) Corporate Non-Resident Permits – Series Revised: Added to description 'Disposal of paper after source documents are imaged and verified'; changed designation from OFM; changed cut-off from 'Until Filmed and Verified' to 'Date Received once Imaged and Verified' and changed total retention from 1 year to 7 years to match Excise Tax Return DAN 78-10-21347.
- 6) Counties and Cities Tax Distribution Maps – Series Revised: Added to description 'Originals at City/County Offices. Maps are only imaged if 8.5x11, otherwise utilize. Paper is retained if not 8.5x11. Disposal of paper after source documents are imaged and verified'; changed cut-off from 'Until Superseded' to 'When Superseded after Imaged and Verified'; changed total retention from '0' to 7 years to match Excise Tax Return DAN 78-10-21347 and moved from office 713 to 706.
- 7) Local Sales & Contract File for City & County – Series Revised: Changed title from 'Local Sales Tax Contract File – Paper'; added to description 'Disposal of paper after source documents are imaged and verified'; removed from description 'Microfilmed copy kept for 15 years; change cut-off from 'Until Filmed and Verified' to 'When Superseded after Imaged and Verified' and changed total retention from '0' to 7 years to match Excise Tax Return DAN 78-10-21347 and moved from office 713 to 706.
- 8) Local Sales & Use Distribution File – Series Revised: Added to description 'Delayed Distribution Process' and also 'Disposal of paper after source documents are imaged and verified'; removed from description 'Microfilm copy kept for 5 years'; changed designation from OFM; changed cut-off from 'When Filed' to 'Date Received once Imaged and Verified'; changed total retention from '0' to 12 years to match Tax Warrant Files DAN 98-10-58762 and moved from office 713 to 706.
- 9) Oil Spill Tax Returns – Series Revised: Added to description 'Disposal of paper after source documents are imaged and verified'; changed cut-off from 'When Filed' to 'Date Received once Imaged and Verified' and changed total retention from 6 years to 7 years to match Excise Tax Return DAN 78-10-21347.
- 10) Oil Spill Warrants/Assessment/Working Papers – Series Revised: Added to description 'Disposal of paper after source documents are imaged and verified'; removed from description 'secondary copy kept in compliance

database' and changed cut-off from 'When Issued' to 'Date Received once Imaged and Verified'.

- 11) Pollution Control Files – Series Revised: Added to description 'Disposal of paper after source documents are imaged and verified'; changed cut-off from 'Final Credit Used-Per Taxpayer' to 'Final Credit Used-Per Taxpayer after Imaged and Verified' and changed total retention from 6 years to 7 years to match Excise Tax Return DAN 78-10-21347.
- 12) Security Cash Bond Documents – Series Revised: Added to description 'Disposal of paper after source documents are imaged and verified'; changed designation from OFM; changed cut-off from 'When Filmed' to 'Date Received once Imaged and Verified' and changed total retention from 6 years to 7 years to match Excise Tax Return DAN 78-10-21347.
- 13) Tax Assessments - Completed – Series Revised: Added to description 'Disposal of paper after source documents are imaged and verified'; changed designation from OFM; changed cut-off from 'Until Filmed and Verified' to 'Date of Issuance once Imaged and Verified'; changed total retention from 6 months to 7 years to match Excise Tax Return DAN 78-10-21347 and moved from office 713 to 706.
- 14) Tax Warrant Files – Series Revised: Changed title from 'Warrant Files (Customer Account Services)'; added to description 'Disposal of paper after source documents are imaged and verified'; changed from OFM; changed cut-off from 'Monthly' to 'Date Warrant is Issued after Imaged and Verified' and changed total retention from 1 year to 12 years for compliance purposes.
- 15) Taxpayer Correspondence – Series Revised: Changed title from 'Taxpayer Correspondence (Customer Account Services)'; added to description 'Disposal of paper after source documents are imaged and verified'; changed designation from OFM; changed cut-off from 'When Filmed and Verified' to 'Date Received once Imaged and Verified' and changed total retention from 0 years to 7 years to match Excise Tax Return DAN 78-10-21347.

Action: Series 1 – 15 approved.

k. Taxpayer Services/Taxpayer Information & Education

- 1) Ruling, Request & Correspondence – Imaged Copy – Series Revised: Added to description 'Disposal of paper after source documents are imaged and verified' and changed cut-off from 'When Imaged' to 'Date Received once Imaged and Verified'.

Action: Series 1 approved.

3. Department of Social and Health Services (DSHS)

a. Human Resources

- 1) Washington State Patrol (WSP) Investigations, No Disciplinary Action Taken – New Series
- 2) DSHS WSP Investigations Database – New Series

Action: Series 1 and 2 approved.

4. Office of the Insurance Commissioner

a. *Rates and Forms*

- 1) Health Maintenance Organizations and Health Care Service Contractors – Series Revised: Changed designation from OFM; series now encompasses the following DANs: 98-MM-58897, 98-MM-58901, 90-MF-46757, 90-CO-46757, 98-11-58904 and 73-05-02602; changed retention from '0' to 8 years and changed cut-off from 'Calendar Year' to 'Once Imaged and Verified'.
- 2) Health Maintenance Organizations and Health Care Service Contractors (Electronic Copy) – Series Revised: Merged into 90-12-46757, discontinued and changed retention from 15 years to 8 years.

The committee noted that this schedule and a number of others submitted by the Office of the Insurance Commissioner were requesting that the records series be discontinued at the same time as the retention period was being revised. Susan Carlson expressed concern that once a schedule is discontinued it can no longer be relied on as authorization to destroy a record. Therefore, if an agency is continuing to retain records under a particular Disposition Authority Number (DAN), that DAN should not be discontinued until there are no more records being retained. The agency should ensure that records are not destroyed under a discontinued DAN.

- 3) Health Maintenance Organizations and Health Care Service Contractors Not-for-Public Filings (Electronic Copy) – Series Revised: Merged into 90-12-46757, discontinued and changed retention from 15 years to 8 years.
- 4) Health Maintenance Organizations and Health Care Service Contractors (Microfilm) – Series Revised: Merged into 90-12-46757, discontinued and changed retention from 15 years to 8 years.
- 5) Health Maintenance Organizations and Health Care Service Contractors (Copy) – Series Revised: Merged into 90-12-46757, discontinued and changed retention from 15 years to 8 years.
- 6) Health Maintenance Organizations and Health Care Service Contractors Not-for-Public Filings (Paper) – Series Revised: Merged into 90-12-46757, discontinued and changed retention from '0' to 8 years.
- 7) Health Care Service Contractors Documentation – Series Revised: Merged into 90-12-46757, discontinued and changed retention from 6 years to 8 years.

Action: Series 1 – 7 approved.

- 1) Property & Casualty Insurance Companies Forms, Rules and Rate Filings – Series Revised: Changed designation from OFM; series now encompasses the following DANs: 98-MM-58898, 79-08-23084, 79-08-23085, 95-06-54934, 79-08-23087, 75-07-13138 and 75-07-13139; changed retention from '0' to 8 years and changed cut-off from 'Calendar Year' to 'Once Imaged and Verified'.
- 2) Property & Casualty Insurance Companies (Electronic Copy) – Series Revised: Merged with 90-12-46756, discontinued and changed retention from 15 years to 8 years.
- 3) Property & Casualty Insurance Companies Rules and Rate Filings – Series Revised: Merged with 90-12-46756, discontinued and changed retention from 6 years to 8 years.

- 4) Insurance Rating Bureau's Rules and Rate Filings – Series Revised: Merged with 90-12-46756, discontinued and changed retention from 6 years to 8 years.
- 5) Special Liability Reports – Series Revised: Merged with 90-12-46756, discontinued and changed retention from 7 years to 8 years.
- 6) Special Rate Filings and Excess Rate Applications – Series Revised: Merged with 90-12-46756, discontinued and changed retention from 7 years to 8 years.
- 7) Property & Casualty Insurance Companies Rule and Rate Filings – Series Revised: Merged with 90-12-46756, discontinued and changed retention from 7 years to 8 years.
- 8) Insurance Rating Bureau's Rules and Rate Filings – Series Revised: Merged with 90-12-46756, discontinued and changed retention from 6 years to 8 years.

Action: Series 1 – 8 approved.

- 1) Life and Disability Insurance Companies All Rate and Contract Filings – Series Revised: Changed designation from OFM; series now encompasses the following DANs: 90-MF-46760, 90-CO-46759, 86-04-36479, 86-MF-36480, 98-MM-58899, 81-07-28290, 81-07-28291, 98-MM-58900, 0-12-46760, 81-09-28952, 74-07-06039, 73-08-02888, 73-08-02890, 73-01-02379 and 81-07-28289; changed retention from '0' to 8 years and changed cut-off from 'Calendar Year' to 'Once Imaged and Verified'.
- 2) Life and Disability Insurance Companies – Series Revised: Merged with 90-12-46759, discontinued and changed retention from 15 years to 8 years.
- 3) Insurance Company Life and/or Disability Forms – Series Revised: Merged with 90-12-46759, discontinued and changed retention from 6 months to 8 years.
- 4) Microfilm copies of Insurance Company Life and/or Disability Forms – Series Revised: Merged with 90-12-46759, discontinued and changed retention from permanent to 8 years.
- 5) Life and Disability Insurance Companies – Electronic Copy – Series Revised: Merged with 90-12-46759, discontinued and changed retention from 15 years to 8 years.
- 6) Variable Annuity Forms – Series Revised: Merged with 90-12-46759, discontinued and changed retention from 6 years to 8 years.
- 7) Credit Life and Disability Forms – Series Revised: Merged with 90-12-46759, discontinued and changed retention from 6 years to 8 years.
- 8) All Universal Life Insurance Companies – Series Revised: Merged with 90-12-46759, discontinued and changed retention from 15 years to 8 years.
- 9) All Universal Life Insurance Companies (Paper) – Series Revised: Merged with 90-12-46759, discontinued and changed retention from '0' to 8 years.
- 10) Insurance Company Life and/or Disability Forms – Series Revised: Merged with 90-12-46759, discontinued and changed retention from 6 years to 8 years.
- 11) Life, A&H & Group Superseded or Withdrawn Rule and Rate Pages – Series Revised: Merged with 90-12-46759, discontinued and changed retention from 6 years to 8 years.

- 12) Group Life and A&H Insurance Forms – Series Revised: Merged with 90-12-46759, discontinued and changed retention from 6 years to 8 years.
- 13) Accident and Health Insurance Forms – Series Revised: Merged with 90-12-46759, discontinued and changed retention from 6 years to 8 years.
- 14) Life Insurance Forms – Series Revised: Merged with 90-12-46759, discontinued and changed retention from permanent to 8 years.
- 15) Life Insurance Forms – Series Revised: Merged with 90-12-46759, discontinued and changed retention from 6 years to 8 years.
- 16) Insurance Company Policy and Rate Filings Correspondence – Series Revised: Merged with 90-12-46759, discontinued and changed retention from 7 years to 8 years.
- 17) Insurance Company Policy and Rate Filings Correspondence – Series Revised: Duplicate of 79-08-23086; discontinued.

Action: Series 1 – 17 approved.

5. Department of Community, Trade and Economic Development

a. *Energy Facility Site Evaluation Council (EFSEC)*

- 1) EFSEC Nuclear Projects – Washington Nuclear Projects (WNP) 1, 2, 3, 4 & 5 – Series Revised: Changed title from ‘Energy Facility Site Evaluation Cases (Approved)’; revised description to make series unique to WNP projects and changed cut-off from ‘License Granted’.
- 2) EFSEC Discontinued Cases – Series Revised: Makes this records series unique to discontinued projects by name and changes the language of the description.
- 3) EFSEC Cases Approved (but not constructed) – Series Revised: Changed title from ‘Energy Facility Site Evaluation Cases (Approved)’; revised description to make series unique to projects not constructed and changed cut-off from ‘Termination of License’ to ‘License Granted; Calendar Year Thereafter’.
- 4) EFSEC BP Cherry Point Cogeneration Project (BP Cogan) – New Series
- 5) EFSEC Chehalis Generating Station (Chehalis) – New Series
- 6) EFSEC Kittitas Valley Wind Power Project (KVVWPP) – New Series
- 7) EFSEC Wild Horse Wind Power Project (WHWPP) – New Series
- 8) EFSEC Satsop Combustion Turbine Project (Satsop CT) – New Series

Action: Series 1 – 8 approved.

6. Department of Licensing

a. *Fuel Tax*

- 1) Prorate/Fuel Tax Imaging Source Documents – New Series
- 2) Imaged Refund Invoice Packets – New Series

Action: Series 1 – 2 approved.

7. University of Washington

a. *Library: Research and Instructional Services: Branch Libraries*

- 1) Study Room Sign-Up Logs – Series Revised: Moved series from Library: UW Tacoma office 05.13.00 with modified retention period and cut-off; previous retention period was 1 year and cut-off was ‘Calendar Year’; changed retention to 7 days and cut-off to ‘End of Day’.

Action: Series 1 approved.

b. *Foundation for International Understanding Through Students (FIUTS)*

- 1) FIUTS Database – Series Revised: Changed title from ‘Donor Database’; modified description; change the cut-off from ‘Last Donation from Donor’ to ‘Administration Purpose Served’ and decreased retention from 6 years to ‘0’.
- 2) Host Family Applications – Series Revised: Reduced retention from 6 years to 2 years.
- 8) Program Files – Without Contracts – New Series
- 9) Simple IRA Files – New Series
- 10) Board Binders – New Series

Action: Series 1, 2, 8 – 10 approved.

c. *Dentistry: Continuing Dental Education*

- 1) Course Files – Series Revised: Increased retention from 6 years to match the retention from the Continuing Education Credit Attendance Records found in the UW General Schedule.

Action: Series 1 approved.

d. *Bothell: Nursing*

- 1) Articulation Agreements – New Series

Action: Series 1 approved.

e. *Any Library*

- 1) Acquisition Record – New Series
- 2) Appeal Evidence File – Series Revised: This revision changed the title from ‘Appeal Information Sheet – Suz Circulation’; reduced the retention from 6 years to 6 months; changed the cut-off from ‘Date Issued or Sent’ to ‘Sent to Cashiers’ Office or Billing Date’; modified the description and changed the designation from OFM.
- 3) Applications for Internal Awards – Awarded – New Series
- 4) Applications for Internal Awards – Awarded – New Series
- 5) Call Slips – New Series
- 6) Donor Files (non-cash gift records) – New Series

Action: Series 1 – 6 approved.

f. *Dentistry: Dental Public Health Sciences*

- 1) Dental Fears Faculty Clinic Patient Charts – Series Revised: Reduced the retention from 40 years to 30 years.
- 3) Intake Forms – New Series

Action: Series 1 and 3 approved.

g. *Dentistry: Office of Student Services, Admissions*

- 2) Degree Verification– New Series

Action: Series 2 approved.

h. *Law: Center for Career Planning and Public Services*

- 1) Externship Files – New Series

- 2) Company Profiles – New Series
- 3) Reciprocity Agreements – New Series
- 4) Employer Registrations – New Series
- 5) Gates Public Service Law Scholarship Recipients – New Series

Action: Series 1 – 5 approved.

i. Graduate School: University Press: Acquisition

- 1) Final Edited Manuscript – New Series
- 2) Dead Queries – New Series
- 3) Dead Manuscripts – New Series
- 4) Book Files – New Series
- 5) Book Proofs – New Series

Action: Series 1 – 5 approved.

j. Business Administration: Journal of Financial

- 3) Unreviewed Submissions – New Series
- 4) Reviewed Submissions – New Series

Action: Series 3 and 4 approved.

k. Library: UW Bothell

- 2) Audio/Visual and Video Equipment Requests (Equipment Stolen) – New Series
- 5) Inventory Database – New Series

Action: Series 2 and 5 approved.

IV. OTHER BUSINESS

A. Review State General Records Retention Schedule Revision Procedures

The committee reviewed and approved the State General Records Retention Revision Procedures and recommended the following changes: revise the title from '*Procedures for State Agency Records Officers to Propose Revisions to Recommendations Regarding the State General Records Retention Schedule*' to '*Procedures for State Agency Records Officers to Propose Revisions to the State General Records Retention Schedule*'; changed the title of the first paragraph from '*Recommendation for New Records Series*' to '*Recommendation for New Records Series to the State General Records Retention Schedule*'; changed the title of the second paragraph from '*Recommendations for Records Series to be Revised*' to '*Recommendations for Records Series to be Revised in the State General Records Retention Schedule*' and changed the third sentence of the third paragraph from '*Records Officer who forwarded comments to the Records Management Office will be invited to attend the SRC meeting at which discussion will be held regarding the proposed new records series which comments were provided*' to '*Records Officer's who forward comments to the Records Management Office will be invited to attend the SRC meeting to discuss the proposed new records series.*' Lysa Walker will make the revisions, then circulate the procedures for signature among the committee members.

B. Discuss Definition for the Cut-Off 'Termination of Employment'

Brenda Galarza, Records Officer for the Office of the Secretary of State (OSOS), asked if the committee could clarify the definition 'Termination of Employment' which is the cut-off used for numerous records series in the State General Records Retention Schedule. There is some confusion among OSOS personnel whether

the definition means 'termination of employment from an agency' or 'termination of employment from state service'. She became concerned that the definition was being misinterpreted. Brenda discovered employee medical files were not being transferred with the personnel file when employee's ended employment with OSOS to work for another state agency. The State Records Committee (SRC) requested that this discussion be tabled until further research has been done by the Records Management Office. The committee recommended that the Records Management Office contact the Department of Personnel and other agency Records Officers along with researching other states. This discussion will be included under 'Old Business' of the SRC agenda in the next couple of months.

C. Discuss Efficient Options for Signing Agency Schedules at SRC Meetings

The SRC recognizes that it takes them a lengthy amount of time to sign agency schedules during a meeting. At the October meeting, the Records Management Office used clipboards to pass around approved schedules for the committee's signatures. This method not only eliminated the chance of a unique retention schedule being misplaced but reduced the amount of time it would normally take the committee to provide signature approval. The committee decided to utilize this method at the November SRC meeting. If it continues to be an efficient method to sign unique retention schedules, the committee will adopt this as a standard practice. The committee invited suggestions from records officers on how the meetings could be conducted more efficiently.

D. Identity Theft – Jerry Handfield

Jerry Handfield discussed the issue of identity theft. Sam Reed, Secretary of State, Steve Excell, Assistant Secretary of State, and Jerry created a 15 minute long PowerPoint presentation on identity theft which has been shown at agency meetings. The presentation provides a variety of information on this subject including the myths surrounding identity theft. The presentation will be included on the December SRC agenda.

E. Archives Week – Jerry Handfield

Jerry circulated Archives Week booklets created by the Washington State Archives and the regional branches. Archives Week begins October 9th and runs through the 12th. Various events scheduled in Olympia and the regional offices include movie night, tours, traditional pioneer food and a documentary on the Chehalis Trail.

V. ADJOURNMENT

The meeting was adjourned at 3:29 p.m.

The next meeting of the State Records Committee is scheduled for November 6, 2006, at 1:30 p.m. in the Archives Building Conference Room.

CERTIFICATION OF MINUTES OF THE STATE RECORDS COMMITTEE MEETING:

I, Steve Ryser, Chair of the State Records Committee, certify that the above is a true and correct transcript of the minutes of a public meeting of the State Records Committee of the Secretary of State, Archives and Records Management Division, held in the State Archives Building conference room on October 04, 2006, and that the public meeting was duly called and held in all respects in accordance with the laws of the State of Washington and that a quorum was present.

Chair Signature

Date

NOTE: Official signature on file at Secretary of State Records Management Office.